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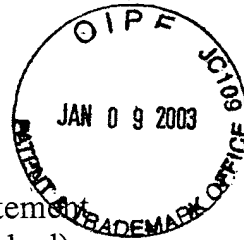
**REC'D IN THE U.S. PATENT AND TRADEMARK OFFICE**

Applicant(s): Yasmin Thanavala

Serial No: 09/420,695

Filed: October 19, 1999

- (1) Transmittal Form
- (1) Fee Transmittal Form
- (1) Supplemental Information Disclosure Statement
- (1) PTO-1449 Form listing 6 references (attached)
- (1) Postcard for acknowledgment



RPP:156A US

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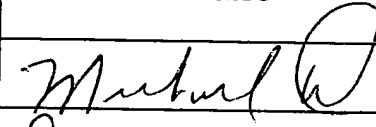
PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/420,695	
	Filing Date	10/19/1999	
	First Named Inventor	Yasmin Thanavala	
	Group Art Unit	1651	
	Examiner Name	Michele Flood	
Total Number of Pages in This Submission	254	Attorney Docket Number	RPP:156A US

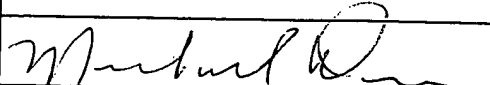
**ENCLOSURES** (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<b>Remarks</b>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Dunn & Associates
Signature	
Date	Jan 6

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 1/6/03			
Typed or printed name	Michael L. Dunn		
Signature		Date	1/6/03

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

**Complete if Known**

Application Number	09/420,695
Filing Date	10/19/1999
First Named Inventor	Yasmin Thanavala
Examiner Name	Michele Flood
Group Art Unit	1651
Attorney Docket No.	RPP:156A US

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 04-1790

Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370		Utility filing fee	
106 330	206 165		Design filing fee	
107 510	207 255		Plant filing fee	
108 740	208 370		Reissue filing fee	
114 160	214 80		Provisional filing fee	

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9		Claims in excess of 20
102 84	202 42		Independent claims in excess of 3
104 280	204 140		Multiple dependent claim, if not paid
109 84	209 42		** Reissue independent claims over original patent
110 18	210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid; if greater; For Reissues, see above

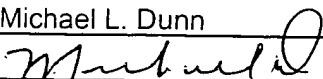
**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

**SUBMITTED BY**

Name (Print/Type)	Michael L. Dunn	Registration No. (Attorney/Agent)	25,330	Complete (if applicable)
Signature		Telephone	716-423-1661	Date
				1/6/03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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RPP:156A US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Yasmin Thanavala

Art Unit: 1651

Serial No: 09/420,695

Confirmation No:

Filed: October 19, 1999

I certify that this **Supplemental Information Disclosure Statement** is being deposited on **January 6, 2003** with the U.S. Postal

Examiner: Michele Flood

Service as first class mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

For: **ORAL IMMUNOLOGY USING  
PLANT PRODUCT CONTAINING  
HEPATITIS SURFACE  
ANTIGEN**

  
Michael L. Dunn

Registration No. 25,330

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following literature citations are being provided in compliance with Applicant's and his attorneys' duty of candor and good faith under 37 C.F.R. 1.56, 1.97 and 1.98. The citations are recorded on the accompanying Form PTO-1449. A copy of each reference is included herewith.

A communication (European Search Report) from the European Patent Office issued November 20, 2002 and disclosed the attached references which have not been previously cited by Applicants in an Information Disclosure Statement.

I hereby certify that each item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

Dated: January 6, 2003

MLD/cah  
Enclosures  
cc: M. DeLellis  
P. Debbie

Respectfully submitted,



Michael L. Dunn

Attorney for Applicant(s)

Reg. No. 25,330

P.O. Box 10

Newfane, New York 14108

Telephone: (716) 433-1661

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	09/420,695
		Filing Date	October 19, 1999
		First Named Inventor	Yasmin Thanavala
		Art Unit	1651
		Examiner Name	Michele Flood
		Attorney Docket Number	RPP:156A US
Sheet	1	of	2

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	DOCUMENT NUMBER	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-5,182,109		S. Tamura, et al.	Claim 7, Examples 4, 12, 20
		US-			
		US-			
		US-			
		US-			
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
		WO 94/20135	09-15-1994	Edible Vaccines, Inc.	Page 14, line 23; Page 17, line 23; Examples 3,4	
		WO 00/37610	06-29-2000	Boyce Thompson Institute for Plant Research at Cornell	The entire document	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

(use as many sheets as necessary)

Application Number	09/420,695
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Filing Date	October 19, 1999
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First Named Inventor	Yasmin Thanavala
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Group Art Unit	1651
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Examiner Name	Michele Flood
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Attorney Docket Number	RPP:156A US
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Sheet	2	of	2
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Examiner  
Initials\*Cite  
No. 1

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the Item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

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AIZPURUA, H.J., et al., "Oral Vaccination: Identification of Classes of Proteins that Provoke an Immune Response upon Oral Feeding", *J. Exp. Med.*, 1988, pp 440-451, Vol. 167.

EHSANI, P., et al., "Polypeptides of Hepatitis B Surface Antigen Produced in Transgenic Potato", *Gene*, 1997, pp 107-111, Vol. 190.

KAPUSTA, J., et al., "A Plant-Derived Edible Vaccine Against Hepatitis B Virus", *Faseb J.*, 1999, pp 1796-1799, Vol. 13, No. 13.

Examiner  
Signature

Date	
Considered	

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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